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limitations in two or more adaptive skills as expressed in conceptual, social, and practical adaptive skills, which occurred before he was age 18?

- A. Yes, I do.
- Q. What is your opinion?
- A. That he still suffers from the same level of conceptual inability, if you will, and social limitations as he did prior -- in the past.
- Q. And what particular adaptive skills does Mr. O'Neal suffer from a significant limitation of?
- A. First of all, there is a significant limitation in academic skills. I would say reading, math skills, but more importantly is the limitation as a result of what I initially referred to as mild cerebral brain dysfunction, which I believe is the cause of the low level of intellectual function.

Now, that particular type of disturbance that he demonstrated on our earlier testing limits his ability to consider alternative modes of dealing with situations which are stressful or which he finds in some way threatening.

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- And I don't have Atkins in front of Q. me, I'm going from memory. Feel free to review Atkins if you have it in your possession. The reference in Atkins to adaptive skills relates to the following: Communication, self care, home living, social, community use, self direction, health and safety, functional academics, leisure, What you have just described, does that fall into that category of functional academics?
- The functional academics and social adaptive.
- Q. How does that fall into the category of social adaptive?
- This is an individual who is going to become rigid, perseverative, not able to think of alternative ways of dealing with situations which occur particularly under stress.
- Does it impact the issue of whether Q. or not Mr. O'Neal is mentally retarded if he meets two of the ten types of limitations of adaptive behavior?
 - Α. My understanding is that it does.
- You have provided us with your Q. opinion concerning whether or not James O'Neal is mentally retarded. Are there gradations of mental

retardation, Doctor?

- A. Yes, there are.
- Q. Based upon your education, training and experience and your interviewing and your testing of Mr. O'Neal and your review of his scholastic records, do you have an opinion to a reasonable certainty as a psychologist as to the level of gradation of Mr. O'Neal's retardation?
 - A. Yes, I do.
 - Q. What is that opinion?
 - A. He is mildly mentally retard.
- Q. Dr. Tureen, what the meant by the term "borderline" in speaking about mental retardation or a mental retardation evaluation?
- A. On our intellectual measures, such as the Weschsler scale or the Reynolds scale, there is an area of intellectual functioning that is below average but doesn't quite fall into the mentally retarded range.
- Q. Have you reviewed any prison records pertaining to Mr. O'Neal from the Mansfield Correctional Institute?
 - A. Yes.
- Q. In reviewing those records, have you seen any indication that Mr. O'Neal has any

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difficulty in following the rules of confinement in that institution?

- No, I don't believe so. Α.
- Does that in any way undercut the Q. opinions that you have just given us concerning his mental retardation?
 - Α. Not at all.
 - Why do you say that? Q.
- We are not talking about somebody who Α. is brain dead. We are talking about limitations. There is some learning that can take place, but it's at a certain level. For instance, he was a dishwasher. That doesn't take a high level of There are people with Mr. O'Neal's level of functioning, who work under supervised situations, and can function well under structured, supervised situations, which is the situation in prison.
- Let me refer to your 2005 report. Q. The last sheet or one of the last sheets in the report is entitled "WAIS-III Summary Report." Do you see where I'm referring, Doctor?
 - Α. Yes.
- Can you explain how that particular page should be read to the Court?

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The most important number there or Α. three numbers there are the verbal performance in full scale IQs, which are described as "borderline, extremely low, and extremely low." The extremely low is in the retarded range. Okay. As I said, it's kind of a political correctness that people don't like to use the term mental retardation as much as they did in the past, extremely low becomes the synonym for mental retardation.

The important point that I tried to make earlier is, if you look at those three scores, they are not statistically significantly different.

The true performance -- if you look at the point where it says "95 percent confidence interval," the true score lies in between those intervals. It could just as well be 64 or 72.

- In relation to your work in this Q. case, have you had opportunity, Dr. Tureen, to review a written report prepared by Dr. Nelson?
 - Α. Yes, I did.
- Q. Is there anything in Dr. Nelson's report that has caused you to change any of the opinions that you have expressed for the Court

today? 1 No. In fact, I think for the most 2 part, except for the final conclusion, he and I 3 are agreeing based upon the information that we 4 have. 5 Have you reviewed your testimony 6 Q. given at Mr. O'Neal's trial back in 1995 in 7 preparation for your testimony today? 8 Α. Yes. 9 Are the opinions that you have 10 Q. expressed today are consistent with the testimony 11 12 that you gave at that time? I believe they are. Α. 13 MR. KRUMHOLTZ: Nothing further, your 14 Honor. Thank you. 15 THE COURT: Cross-examination? 16 17 MS. MULLEN: Thank you, Judge. 18 CROSS-EXAMINATION BY MS. MULLEN: 19 Hello, Dr. Tureen. 20 Q. Hello. 21 Α. 22 Q. According to your discussion of summary report in regards to the 95 percent 23 confidence interval, that means IQ testing is not 24

exact. Would that be correct?

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IQ testing is based on -- I can't say If I may explain.

- It's a statistical process. And when you use statistics, you get a range. You get what is known as standard error of measurement. And for the full scale IQ -- I don't remember the exact standard error of measurement, but it's somewhere between two and three. So, if you look at the full scale IQ of 67, that real number is something like 65, or it's like 68, somewhere in
- So on your verbal scale where it says "67 to 77," is that the confidence?
- That's a different confidence level. That's not the standard error of measurement.
- Is it correct to generalize that the IQ score that you come up there can vary either five degrees over or five degrees under?
- So an IQ score of 71 could be 76 or
- It's possible, sure. Again, I think the important point that I have been trying to make here is the consistency of the pattern from a

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very early age on IQ measures.

- The point that I'm trying to make is it could be anywhere in that range, so we can't say for sure the exact number. Would that be correct?
- That would be correct except that traditionality that we take the number, and if you read reports of -- as in this report -- if you read reports that state what the IQ is, you state it's 67, not that it's in a range from X to Y.
- But it's understood that there is a Q. range?
- There is always a range, yes, Α. statistically.
- So in regards to back Dr. Chiappone's administering the Weschsler back in 1994, he came up with 71?
 - Α. Yes.
- That could be 76, or it could be -whatever five from 71 is -- 66, right?
 - It could be. Α.
- Q. So is it correct to say that we don't know his exact score?
- No, we don't, but we are also dealing with the best guess, and that number is the best

guess. Okay. It's a statistical guess, but it's still the best guess.

- Q. Do you agree that even with an IQ below 70, there would be no diagnosis of mental retardation without some significant impairment in adaptive functioning?
 - A. Yes.
- Q. So you almost need to look at the adaptive functioning in order to come to a conclusion. Would that be correct?
 - A. Yes.
- Q. Do you agree with the DSM-IV -- I'm sure that you're familiar with that -- that mental retardation is not necessarily a lifetime disorder?
- A. It depends. You're going to have to define that for me, or they are going to have to define it for me.
- Q. Well, I only know what they say in just a couple sentences on Page 44. "Mental retardation is not necessarily a lifelong disorder. Individuals who had mild mental retardation early in their lives, manifested by failure in academic learning tasks, may, with the appropriate training and opportunities, develop

But he was not, right? Q. 1 He was not. That doesn't mean that Α. 2 he shouldn't have been. 3 Are you aware that he, for example, Q. 4 he owned and drove an automobile? 5 Α. 6 Yes. Are you aware of that? 7 Q. Well, I don't know that. I'm aware 8 Α. that he owned an automobile. I know that he drove 9 an automobile, that he could drive. 10 Are you aware that he was in the 11 Q. military? 12 Α. Yes. 13 That he was a lance corporal in the 14 Q. military? 15 Α. I have not seen that particular 16 discharge. I have only read it. 17 Q. In the reports? 18 In the reports. 19 Α. 20 Q. You're aware that he was married and raised a family? 21 He was married and tried to raise a Α. 22 family. 23 24 Okay. Were you aware that he had custody of his children? 25

1	A. Yes.
2	Q. He sought and received custody of his
3	children?
4	A. Yes.
5	Q. Were you aware that he worked for a
6	living?
7	A. At times he did, yes.
8	Q. He was a valued employee?
9	A. At times he was.
10	Q. Do you know that his mother testified
11	at his trial that he was a normal child?
12	A. In terms of what? Walking?
13	Q. She said he was a normal child, a
14	child who was normal. Are you aware of that, sir?
15	A. I don't recall her particular
16	statement at trial.
17	Q. As you said before, as far as we
18	know, he's adjusted to prison life?
19	A. Yes.
20	Q. Are you aware that his intellectual
21	functioning was evaluated in prison, and there was
22	no deficit noted?
23	A. I have seen the statement. I have
24	not seen the evidence that they talk about. I
25	also saw statements that he is "a bit dull." I

have not seen any data. 1 But it's in the report? 2 Q. But how is that determined? 3 I don't know, but apparently the 0. 4 prison system thought that he had no deficit. 5 you aware of that? 6 Α. I'm aware of that, but I don't know 7 how that pertains to the issue of retardation. 8 But aren't these all evidence of 0. adaptive functioning? 10 11 Α. How much adaptive functioning I'm not sure that much adaptive -- excuse me. 12 functioning is required on death row. 13 How about he went to the high school, 14 Q. isn't that an indication of adaptive functioning? 15 16 Α. But he did extremely poor. 17 Q. How about he was in the military? He went AWOL. He did not find an Α. 18 alternative solution to dealing with the 19 situation. 20 None of these things change your mind 21 Q. about his adaptive functioning? 22 23 I never said he could -- if you read my report, I said there were two areas in which he 24 25 could not adapt, and there are eight in which he

could. Yes, he has areas which he capable of 1 adapting. 2 You're aware, I am sure, that Dr. 3 Q. Nelson found that Mr. O'Neal was not mentally 4 retarded? 5 Α. He claimed that he was not. 6 7 Q. Even after reviewing your report? Α. Yes. 8 9 Of course Dr. Chiappone had the same Q. opinion, correct? 10 Α. Yes. 11 Now, you talked about his lack of 12 Q. social adaptivity? 13 Adaptability. 14 Α. He has a personality disorder, does 15 0. he not? 16 Which is? 17 Α. Antisocial personality disorder? 18 Q. 19 Based upon --Α. Borderline personality disorder. 20 Q. 21 Α. Based upon what? It's in the reports. I mean, I only 22 Q. 23 know the reports, like you do. Okay. He had an antisocial 24 Α. personality disorder because of his drug use and 25

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his run-ins with the law. I do not recall any basis or seeing a basis for diagnosing a borderline personality.

- He has been diagnosed 0. psychiatrically, correct, as having a borderline personality?
 - Α. I am not aware.
 - You're not aware of that, sir? Q.
- I'm not aware of who diagnosed that or what is the basis.
 - But you're aware of that? Q.
- I know that Dr. Nelson said that he Α. had a borderline -- mixed borderline -- mixed personality disorder, including borderline personality and antisocial disorder. I don't know where he got it.
- Q. Well, also it's in the trial transcript I think, too, from the psychologist who testified.
 - Dr. Chiappone? Α.
- I'm not sure. I don't remember. 0. But anyway, here's the point that I'm getting to, wouldn't that account for his lack of social skills or lack of social adaptability?
 - Α. I think that's a great point, but I

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think just as reasonably the fact that you have an individual who has brain dysfunction, which results in low intellectual functioning, which results in compromised ability to adapt to certain types of situations is as reasonable an explanation, and as far as I'm concerned, I have demonstrated the brain dysfunction, okay, as a neuropsychologist, that can account for the level of functioning that the disorder in functioning that we saw, and you can attach that on top of it, if you will, but still the underlying cause of the mental retardation in the inability to adapt in the two areas that I talked about in my opinion are the result of his brain dysfunction.

Well, are you taking into consideration the entire social aspect?

You can put that on top of it, if you Α. want to, but I'm still saying that the issue that we have been talking about, which is, is he mentally retarded? And there are areas of failure to adapt which coincide with that mental retardation, and I have talked about that a number of times. Those are the two that I think that lead to my conclusion, plus the fact that this occurred before the age of 18, that he is mentally

retarded.

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Q. Well, I'm asking you to consider if someone has an antisocial personality, wouldn't that lead to the same problem, and isn't that a separate thing of mental retardation?

- A. Yes, and that would not necessarily lead to the same problem.
- Q. Isn't that the basis of why so many people are in prison, is that they have that antisocial personality? They can't get along with people. And isn't that what Mr. O'Neal manifests?
- A. Yes, and there are also -- I'm going to go back to my talking about the kind of test results that he demonstrated, which shows a man, which is his brain, which locks in, if you will, because of a disturbance in the way the brain functions and cannot conceptualize different ways of handling certain types of situations that even somebody who has a borderline personality, or who is an antisocial personality can, in fact, do. He gets locked into it. He become perseverant. He is going to do same thing over and over. He gets a thought in his head, and it's almost like obsessive compulsive disorder. Once he starts on a track and it's an emotionally charged track, he

is limited. That is what I believe -- I think --1 is the cause of the mental retardation. 2 MS. MULLEN: I don't think that I 3 have anything else. Thank you. 4 THE COURT: Redirect? 5 MR. KRUMHOLTZ: I just have one 6 question. 7 REDIRECT EXAMINATION 8 BY MR. KRUMHOLTZ: 9 Dr. Tureen, Ms. Mullen asked you 10 about Dr. O'Neal's report. Is there anything to 11 indicate that -- I said "Dr. O'Neal -- Freudian 12 slip. Dr. Nelson. 14 Α. Is there anything in Dr. Nelson's 15 report that indicates that Dr. Nelson examined Mr. 16 O'Neal? 17 My understanding is Dr. Nelson Α. 18 No. based his conclusions upon the review of 19 documentation. 20 21 MR. KRUMHOLTZ: I have nothing further. 22 Your Honor, we would offer for 23 admission -- they are covered by the 24 25 stipulation, the three exhibits that we

have presented with the doctor. 1 THE COURT: Any objection to the 2 exhibits? 3 MS. MULLEN: No, Judge. 4 THE COURT: Doctor, you can step 5 down. 6 (Witness excused.) 7 THE COURT: Does the defense have any 8 further witnesses? 9 MR. KRUMHOLTZ: We do not, your 10 11 Honor. 12 THE COURT: The State have any witnesses you want to call? 13 MS. MULLEN: No, your Honor. We 14 would just offer the exhibits that we have 15 marked. Shall I recite what they are. 16 17 THE COURT: You want to recite those? MS. MULLEN: State's Exhibit 1 is Dr. 18 19 Nelson's report. 20 State's Exhibit 2 is Dr. Nelson's CV. State's Exhibit 3 is Mr. O'Neal's 21 medical chart. 22 State's Exhibit Number 4 is Mr. 23 O'Neal's mental health file. 24 25 State's Exhibit 5 is the Ohio Supreme

Court decision, State of Ohio v. O'Neal, 1 that being, 87 Ohio St. 3d 402. That's 2 all. 3 THE COURT: Any objection to the 4 State's exhibits? 5 MR. KRUMHOLTZ: No objection. 6 THE COURT: Okay. We'll admit the 7 defense exhibits without objection and the 8 State's Exhibits without objection. 9 (State's Exhibits 1, 2, 3, 4 and 5 10 were admitted: 11 Defendant Exhibits 1, 2 and 3 12 were admitted.) 13 THE COURT: Does the defense wish to 14 offer argument, or are you going to submit 15 some kind of brief? How do you want to 16 proceed? 1.7 MR. KRUMHOLTZ: It's really the 18 Court's preference. I am happy to argue a 19 few minute, if you would prefer, or if you 20 prefer briefing, we can do it in that 21 fashion. 22 23 THE COURT: Does the State have a preference? 24 25 MR. CUMMINGS: We are prepared to

argue if the Court prefers.

THE COURT: Why don't we give brief arguments. I don't have the benefit of me having reviewed all of exhibits at this time, and so I'll certainly allow you, if you want, to submit some kind of a brief.

I would suggest the defense would file something, and the State would respond to it, and you would have the final word.

I'll allow you to give a short argument at this time. I am thinking it would be helpful for me to consider your briefs after I have read everything.

MR. KRUMHOLTZ: That's fine. We will take advantage of that offer from the Court.

Briefly, the template for this, as you know, is *Atkins versus Virginia*, decided in June of 2002.

one of exhibits that you have received in the case is *State versus*O'Neal, the decision regarding this particular case, but please, as you sift through that particular information and the case decision, look at the date, which

predates Atkins versus Virginia.

what does Atkins tell us? Atkins
tells us that there is a certain measure
which a trial judge in your position can
make that will determine whether someone is
or is not mentally retarded. If they are
mentally retarded, the Eighth Amendment
precludes their execution.

what does Atkins look at? If you will look, Daryl Renard Atkins had a full scale IQ of 59, and the Court mentions the term "full scale IQ".

Dr. Tureen today and in his report tells you the full scale IQ for James

Derrick O'Neal is 67.

Look also at the case of the *State*versus Lott, which is Ohio's adaptation, if

you will, of the Atkins' test, and the

Ohio's determination from the Ohio Supreme

Court as to how the state court will

survive or enforce, if you will, Atkins.

what the Court said was that an IQ of over 70 is presumed to be not mentally retarded. They chose some line drawing.

They chose a line in the sand. They said,

if the IQ is over 70, a person is not mentally retarded.

We have a full scale IQ taken in 2004, the WAIS-III, the current "gold standard" test, that indicates that man has an IQ of 67.

And Ms. Mullen is absolutely correct. There are ranges, and the Court knows that.

Dr. Tureen emphasized, and very importantly, the consistency of testing done when Mr. O'Neal was in grade school, done by Dr. Chiappone and done now by Dr. Tureen. So you have that IQ.

The IQ itself is not conclusive on the issue of mental retardation. The other issues becomes important under the Atkins standard. Are there significant limitations in adaptive function?

As I recall, there are ten areas of adaptive functioning. One of those is functional academics. Dr. Tureen's report and testimony highlighted Mr. O'Neal has a significant limitation in his functional academics.

The second area of significant

limitation and adaptive functioning for this person is that the fact in social situations that emotionally he is rigid in his thinking to the point that he has no social alternative. That, according to Dr. Tureen was a significant limitation that puts him into the category of mentally retarded.

so we ask the Court in looking at the evidence to pinpoint those issues of functional academics and those issues of the social functioning because it requires in *Atkins* two or more of these areas, and it requires a significant detriment in intellectual ability. That's where the 67 IQ comes into play.

Thank you.

MR. CUMMINGS: Your Honor, if I may, we have an exhibit that I would like to pull out here.

Your Honor, at this juncture, I think it's important to point out that the defense has the burden of proof by a preponderance of the evidence.

State v. Lott made that clear. It's

also clear a score of an IQ test of above 70 is a rebuttable presumption that somebody is not mentally retarded.

Now, in this case, as has been discussed, there's been multiple IQ test given to Mr. O'Neal, and he scored a variety of different scores in the range of I think 64 to 71 or 72. And taking into account the standard deviations, I think you can see where he could be as high as 76.

And the point of that is that the IQ tests themselves are not determinative in this case. In fact, that's the point that Dr. Nelson makes in his report, that the IQ test itself doesn't really make this Court's decision an easy one. It's a range, and it's a nondeterminative issue here.

So really to resolve this issue in Mr. O'Neal's case, I think it's necessary to look at the adaptive evidence of his life history. I think that's where it is clearly evident that he is not mentally retarded.

Why do we say that? For a variety of reasons. I think when you go over the exhibits and the trial records, that would become clear. We would like to highlight for you the ones we think are most important.

First of all, I believe on Page 18 of the Supreme Court's opinion on mental retardation was not an issue in the mitigation phase, yet the Court went out of it's way to note in it's decision that Mr. O'Neal is not mentally retarded.

Second, you have the report of Dr.

Nelson, where he says Mr. O'Neal is not
mentally retarded precisely because of his
excellent adaptive behavior he has
exhibited over his life.

We have the mitigation testimony of Dr. David Chiappone, which is in the fifth volume of the trial transcript. He said the IQ range is definitely in the borderline range because Mr. O'Neal functions at a much higher level than his IQ would indicate. He is not mentally retarded.

Look at Mr. O'Neal's life history.

He served in the military. He served the last two years or three years as a lance corporal. He went AWOL to attend his father's funeral, but that still indicates a man who served his country for 36 months. Attending your father's funeral is not an indicator of mental retardation.

This is a man who, once he got out of prison, decided he was going to turn his life around.

He told his family that he was going to seek and he did ultimately attain custody of his children. He made a conscious effort to find steady employment, and he did so.

Why is this important? Because one of the adaptive behaviors you must look at is, does he have the ability to self direct? Does he have the ability to focus and make decisions? He clearly does. He turned his life around. That's in the mitigation hearing. You will see that and review that. That was so striking the Ohio Supreme Court noted that as well in its

decision. This was man who had self direction enough to pull himself together and decide he was going to seek steady employment and get custody of his children, and he did so.

He did get the custody of his children. His employment history had hills and valleys, but it's important to note that his employer said he was a fabulous employee at the Kenwood Country Club, and he would hire him back in a minute. He had a fantastic work ethic.

And when it goes to his social adaptability, it's important to note what the employer said about him.

He actually acted as peacemaker in the kitchen, which is a volatile, stressful environment. Often the kitchen workers would have disputes, and he acted as peacemaker.

He actually had high level of social adaptability, and he exhibited them so well the employer said he would hire this man back in a minute. His good work ethic earned him employee of the month at

Aerotek, the last place he worked.

His Department of Corrections'
records will be in the exhibits with this
Court, and it is important to note that the
Department of Corrections noted no mental
deficit. This is not a close case. This
is a man, when he chooses to do so, has
tremendous ability to adapt, and for that
reason Dr. Chiappone says he functions at
much a higher level than his attained IQ.
That's what Dr. Nelson felt as well.

That's why the State is confident after the Court reviews all the testimony and trial exhibits of this case and the reports that it will find the defense has not met their burden here by a preponderance of the evidence.

Thank you.

THE COURT: Okay. You will have an opportunity to brief this. I don't know that you need to say anything further at this time. I'll ask you to agree on a schedule to submit those briefs, and then I will try to give you a determination in a timely fashion.

Any reason why we shouldn't order the defendant returned to the institution at this time.

MR. KRUMHOLTZ: No reason, your Honor.

THE COURT: We will do that. We'll order that the Hamilton County Sheriff return the defendant to -- where has he been at?

MR. GIDEON: Mansfield.

THE COURT: Mansfield. And I look forward to your briefs. Court will stand in recess.

<u>CERTIFICATE</u>

I, DEBORAH A. KAHLES, RPR, the undersigned, an Official Court Reporter for the Hamilton County Court of Common Pleas, do hereby certify that at the time and place stated herein, I recorded in stenotype and thereafter transcribed the within transcript of proceedings and that the foregoing Transcript of Proceedings is a true, complete, and accurate transcript of my said stenotype notes.

IN WITNESS WHEREOF, I hereunto set my hand this 19th day of May, 2005.

DEBORAH A. KAHLES, RPR Official Court Reporters Court of Common Pleas Hamilton County, Ohio